



# ALABAMA DEPARTMENT OF TRANSPORTATION

## Local Transportation Bureau

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Kay Ivey  
Governor


John R. Cooper  
Transportation Director

April 6, 2018

### LOCAL TRANSPORTATION BUREAU MEMORANDUM 2018-15

TO:

FROM:

  
D.E. (Ed) Phillips, Jr., P.E., Local Transportation Bureau Chief

REFERENCE: FY 2019 Planning Funds & Unified Planning Work Program (UPWP)

The estimate of federal planning funds for your area for FY 2019 is \$ . This figure includes the formerly separate 5303 funds. Please note this figure is only an estimate and planning funds will be finalized pending an approved Unified Planning Work Program (UPWP). **Your planning fund charge number will be Z450 1000#####. Please reference this number and fee amount on all FY 2019 invoices and other correspondence pertaining to your PL funds for all costs incurred after September 30, 2018.**

If you would like to request additional PL funds for a special study or for TIP or LRTP preparation, a letter detailing the use of funds as well as how much additional PL funds can be sent to this office for consideration. You will be informed of how much additional PL funding you receive in a subsequent letter.

The draft Metropolitan Planning Organization (MPO) FY 2019 UPWPs should be submitted to the Metropolitan Planning Section office at ALDOT no later than the close of business on June 18, 2018. The Fixing America's Surface Transportation (FAST) Act did increase PL funding. Please remember that transit 5303 funds were added to the PL funding category in 2012 and that continues. Please be sure to include the following statement below each Task under the Financial Responsibilities section in your UPWP: ***The FHWA PL and FTA 5303 planning funds have been consolidated into one PL category.***

**The MPO can carry over planning funds for a maximum of three (3) years.** Funds that are not expended by the end of the third fiscal year will be returned to the funding pool and redistributed. The one exception to this rule will be that you may retain sufficient funds to pay

a consultant if the consultant's work is not complete by the end of the fiscal year in which the work was contracted.

State Planning & Research Funds (SPR) are allocated by MPO boundaries for ALDOT use in administration and oversight of the UPWPs. Please list the (SPR) funds in your FY 2019 UPWP. The amount of SPR funds for your area for FY 2019 \$

This year you will be using FAST Act references instead of MAP-21. Metropolitan transportation planning and Statewide and nonmetropolitan transportation planning continue their Section 1201 and 1202 references, respectively. Be aware that we may see additional federal guidance and new Codes of Federal Regulations applicable to Statewide and Metropolitan Planning at some point during draft and final UPWP production. If that occurs, this office will provide available information and direction for finalizing the FY 2019 UPWP.

Be sure that all structural elements in the draft UPWP are in place and conform to the guidelines established in September - November 2008, February 2009, and March 2010, and carried forward in previous planning documents. Make certain the USDOT 'disclaimer' remains as the last line of the Coordinating Agencies statement on the Title/Contacts page. The statement was revised for the FY 2014 and updated for the FAST Act, and should read as follows:

*The UPWP was prepared as a cooperative effort of the U. S. Department of Transportation (USDOT), Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Alabama Department of Transportation (ALDOT), and local governments in partial fulfillment of requirements in Title 23 USC 134 and 135, amended by the FAST Act, Sections 1201 and 1202, December 4, 2015. The contents of this document do not necessarily reflect the official views or policies of the U.S. Department of Transportation.*

The first WHEREAS of the draft Resolution continues to read:

***WHEREAS**, the \_\_\_\_\_ MPO is the organization designated by the Governor of the State of Alabama as being responsible, together with the State of Alabama, for implementing the applicable provisions of 23 USC 134 and 135 (amended by the FAST Act, Sections 1201 and 1202, December 2015); 42 USC 2000d-1, 7401; 23 CFR 450 and 500; 40 CFR 51 and 93; and*

Prior to FY 2014 draft UPWP development, all MPOs were informed that the legislation that would become the FAST Act would require Rural Planning Organizations (RPOs) to produce Regional Transportation Plans and TIPs. No such requirement ended up in the final FAST Act legislation. Consequently, ALDOT has elected not to establish Regional Transportation Planning Organizations (RTPOs) but will continue with the established RPOs, non-metropolitan, cooperative process. MPOs should modify their planning documents by removing the FY 2014 language. To be clear, the Alabama Department of Transportation does not require the RPOs to prepare Regional Plans or TIPs. If you have any questions concerning this, please contact this office.

For FY 2019, with the exception of the Birmingham MPO, we are allowing several of the UPWP sections dealing with air quality to be eliminated. Under prior administrations, there was concern that several of our MPOs could fall below the national ambient air quality standards for ground level ozone and particulate matter (<https://www.epa.gov/criteria-air->



[pollutants/naaqs-table](#)). Therefore, it was advised that there should be a task under Data Collection for MOVES modeling and tasking under Transportation Systems for amending the TIP and LRTP for air quality conformity. These sections may be removed. The existing task for Environmental Mitigation and Air Quality Planning should be retained as a catch-all for any air quality efforts. This catch-all should include Climate Change tasking, in order to meet Planning Factor I of the FAST Act.

MPOs with TMAs should already have a Freight Plan, and the FY 2019 tasking would be to update or continue development of the Plan. All other MPOs should have, at minimum, a Freight Planning task or subtask under Transportation Systems in anticipation of future requirements.

ALDOT requires a Safety task in all FY 2019 UPWPs. Similarly, UPWP tasking for the Long Range Plans, Congestion Management Plans or components, Bicycle and Pedestrian Plans, and the FY 2016 - 19 TIPs call for Safety components within each.

*Livability Principles and Indicators* are continued in the UPWPs. The tasking remains the same, and data presentation is expected in the following documents: Long Range or Regional Transportation Plan, Transportation Improvement Program, Public Participation Plan (or Public Involvement Plan), Congestion Management Process (Plan for TMAs), Bicycle and Pedestrian Plan, and Air Quality Conformity Report (Birmingham only). There should be task activity under these documents in the UPWP as well as Data Collection and Management or similar, and for Indicator data collection, processing, and presentation.

The FAST Act carries forward new requirements for performance management established under MAP-21. It is expected that all Performance Measures will require some level of tasking by the States and MPOs. ALDOT will establish the measures and reporting guidelines, under the guidance of FHWA, and the MPOs will follow the State process. Performance Management in the UPWP will be two-fold.

**First**, the MPO should expect to include additional narrative in the front of their UPWP. Being similar in purpose, ALDOT would like for the MPO to take existing sections on livability indicators and planning emphasis areas and combine with a new section on transportation performance management. A sample paragraph would be:

### **Special Planning Considerations**

#### Livability Indicators

No additional requirements

#### Planning Emphasis Areas

No additional requirements

#### Transportation Performance Management

MAP-21 and the FAST Act created a performance-based surface transportation program with requirements for State Departments of Transportation, Metropolitan Planning Organizations, and transit agencies. Along with DOTs, FHWA has required MPOs to adopt targets or accept the state target for the following categories:

- Serious Injuries per Vehicle Miles Traveled, Fatalities per vehicle miles Traveled, Total Serious Injuries, Total Fatalities, Non-Motorized Fatalities and Serious Injuries;
- Percentage of Pavement on the Interstate in Good Condition, Percentage of Pavement on the Interstate in Poor Condition, Percentage of Pavement on the Non-Interstate NHS in Good Condition, Percentage of Pavement on the Non-Interstate NHS in Poor Condition, Percentage of Bridge Decks on the Non-Interstate NHS in Good Condition, Percentage of Bridge Decks on the Non-Interstate NHS in Poor Condition.
- Percentage of Person-Miles Traveled on the Interstate that are Reliable, Percentage of Person-Miles Traveled on the Non-Interstate NHS that are Reliable, Truck Travel Time Reliability Index, Annual Hours of Peak Excessive Delay Per Capita, Percent of Non-Single Occupancy Vehicle (SOV) Travel, Total Emissions Reduction.

FTA's final rule defined the term "state of good repair" (SGR) and established a minimum Federal requirement for transit asset management. This requirement applies to all recipients and subrecipients who own, operate, or manage public transportation capital assets. Three SGR performance measures include:

- Rolling Stock (Revenue Vehicles): % by type that exceed Useful Life Benchmark (ULB)
- Equipment (over \$50,000): % of non-revenue service vehicles by type that exceed ULB
- Facilities: (FTA Sponsored): % rated less than 3.0 on the TERM scale.

**Second**, the MPO should include performance measures work inside of their existing tasking. In FY-2018, the following tasks were updated to include specific language: Public Transit Planning, Freight Planning, Transportation Management and Operations Planning, and Transportation Safety Planning. That language should be retained for FY-2019. The updated language should reside under Proposed Work and should read:

- MPO will work and coordinate with the Alabama Department of Transportation (ALDOT) on setting goals, objectives, performance measures, and targets required by the FAST Act for the inclusion in the LRTP, TIP, and other necessary documentation required by ALDOT.

The MAP-21 Planning Factors, retained in the FAST Act, are found under 23 U.S. Code § 134 (h) 1 A-H, and should be presented in the document narrative as the *Scope of [the] Planning Process*:

- A. support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency
- B. increase the safety of the transportation system for motorized and non-motorized users
- C. increase the security of the transportation system for motorized and non-motorized users
- D. increase the accessibility and mobility of people and for freight

- E. protect and enhance the environment, promote energy conservation, improve quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns
- F. enhance the integration and connectivity of the transportation system, across and between modes, for people and freight
- G. promote efficient system management and operation
- H. emphasize the preservation of the existing transportation system
- I. improve the resiliency and reliability of the transportation system, and reduce (or mitigate) the stormwater impacts on surface transportation
- J. enhance and travel and tourism

We recognize that not every MPO has the same task structure and as such the final location for these activities is left to the discretion of the MPO.

FHWA and FTA have requested that all federally funded studies as well as all relevant state and local planning activities conducted without federal funds to be included in the FY 2019 UPWPs. The planning studies include but are not limited to: inventory and condition studies (e.g., highway, transit, or a highway/transit combination), feasibility studies conducted prior to NEPA to determine if and when a project should begin project development, and other planning activities that do not directly prepare a project to advance to physical construction (see attached FHWA memorandum). The studies need to be included as task activities in the UPWP (e.g., include traffic signal study under the task transportation systems). The FHWA and FTA also recommended these studies to be listed out individually in a separate summary table on the last page of the UPWP including descriptions of work and name of sponsors. The planning studies are not required to be included in the TIP; however, it is a good practice to include them in the TIP. If a new planning study is to be added during the year, only one resolution is needed to amend both the UPWP and TIP.

Please remember that your planning funds have to be balanced in your UPWP; and that annual *rebalancing and updating* language is no longer required.

Please keep in mind that the Department reserves the right to change or modify documentation requirements as needed. This will be important during FY 2019 UPWP draft development as we may have new FHWA guidance while document preparation is underway. We will inform the MPOs as soon as we have any additional requirements.

The following is a UPWP schedule that should be used in preparing your FY-2019 UPWP.

#### UPWP PROCESS SCHEDULE

No Later than June 15, MPO transmits **draft** UPWP to ALDOT (ALDOT transmit copies to FHWA/FTA).

No later than July 16, ALDOT provides comments to MPO (FHWA and FTA will not provide their comments to ALDOT until July 10th).

No later than August 13, MPO addresses review comments, adopts UPWP and transmits to ALDOT.



ALDOT reviews adopted UPWP and resolves any outstanding issues with MPO before transmitting to FHWA/FTA.

No later than September 1, ALDOT transmits adopted UPWP to FHWA/FTA, recommending approval, conditional approval, or disapproval.

No later than September 28, FHWA/FTA issue approval letter (for UPWP's received prior to September 1).

If you have any questions concerning transit, please call Mr. Randy Stroup (334) 353-6455 or e-mail him at [stroupr@dot.state.al.us](mailto:stroupr@dot.state.al.us).

After you have completed your draft, email a version to Michael Hora at [horam@dot.state.al.us](mailto:horam@dot.state.al.us). Following the ALDOT approval by email, you will be requested to e-mail a final version to [horam@dot.state.al.us](mailto:horam@dot.state.al.us) and send four (4) hard copies of your final FY 2019 UPWP by U.S. Mail to the attention of the above at Planning Section, Local Transportation Bureau, Montgomery for distribution.

The State of Alabama shares jurisdictional planning responsibility with the States of Florida and Georgia. Those states guide their respective TPO/MPOs in UPWP development process and according to their fiscal year and annual calendars. This directive is forwarded to the Florida-Alabama Transportation Planning Organization and the Columbus-Phenix City Metropolitan Planning Organization for informational purposes only.

If you should have any questions or comments, please contact Mr. Michael Hora, Assistant Local Transportation Bureau Chief, Planning at (334) 242-6517.

DEP/mh

c: Mr. John R. Cooper, Transportation Director  
Mr. Don Arkle, P.E., Chief Engineer  
Mr. Ed Austin, P.E., Assistant Chief Engineer, Policy & Planning  
Mr. Mark Bartlett, FHWA Alabama Division Administrator  
Ms. Yvette G. Taylor, FTA Region 4 Administrator